

NAUPA II Field Specifications/Definitions Modifications

Field	NAUPA II Standard Field Parameters	California Field Parameters	Tips for Successful Reporting
Holder Record 3	Holder Tax ID Extension: NAUPA II standard requests FEIN extension.	Holder Tax Extension Branch Number: California requires branch number, if applicable.	If not applicable to your report, zero-fill this field.
Holder Record 4	Holder Report Year: NAUPA II standard accepts the four-digit report year in this field.	Holder Report Month/Year: In this field, California requires the two-digit month, followed by the two-digit year.	The month will always be 05 for life insurance companies and 11 for all other companies.
Holder Record 5	Holder Report Type: NAUPA II standard allows for three report types: A for advertising, R for remittance, and T for test.	Holder Report Type: California allows only R for remittance.	The parameters are detailed in the California NAUPA Instructions manual.
Holder Record 6	Holder Report Number: NAUPA II standard for sequential numerical values to indicate report number.	Holder Report Type: Each report is individual in California, so the only acceptable value is 01.	Identify each report individually with a report number of 01.
Holder Record 15	Holder Contact 1: NAUPA II standard does not specify holder representative for this field.	Holder Contact 1: California uses this field to capture primary holder contact information for the person responsible for the report. This contact person will always be an employee of the holder.	Identify the person within your company responsible for submitting the report.
Holder Record 16	Holder Contact 2: NAUPA II standard specifies a contact person responsible for claims.	Holder Contact 2-Reporting Agent: California uses this field for contact information for reporting agents submitting the report on behalf of the holder. This field is mandatory if an agent is submitting the report.	This field is mandatory if an agent is submitting the report.
Property Record 20	Property Starting Transaction Date: Otherwise known as date of last contact. In the NAUPA II standard this field is not mandatory.	Property Starting Transaction Date: This field is the same in California; however, it is mandatory, not just optional.	Always provide date of last contact in California reports.
Property Record 24	Property Deduction Type: NAUPA II standard allows for several deduction types.	Property Deduction Type: California allows only one deduction type, SW, as detailed in deduction type code table.	See deduction type codes in California NAUPA Instructions.
Summary Record 10	Summary Number Shares: NAUPA II uses four decimal places.	Summary Number Shares: California uses only three decimals. A zero is required at the end of the value to properly position the field data.	Calculate to three decimals and add a zero to the end.
Summary Record 13	Summary Shares Remitted: NAUPA II uses four decimal places.	Summary Shares Remitted: California uses only three decimals. A zero is required at the end of the value to properly position the field data.	Calculate to three decimals and add a zero to the end.
Unused or Not-Allowed Fields	NAUPA II standard contains numerous fields for data California does not use or allow.	Unused or not-allowed data fields have been noted appropriately with instructions to space- or zero-fill them.	To avoid errors, zero-fill unused numeric fields and space-fill character fields.
Tangible Record	NAUPA II Standard allows more than one tangible record per property record.	California allows only one tangible record per property. Each tangible record requires its own property record.	List each tangible record after its own property; submit different property types on separate reports.